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#3  
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7/17/02

\*Admitted only in Maryland  
+Admitted only in Virginia  
•Admitted only in Texas  
•Practice Limited to  
Federal Agencies

July 9, 2002

WRITER'S DIRECT NUMBER:  
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Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Utility Patent Application  
Appl. No. 09/973,783; Filed: October 11, 2001  
For: **Cable Modem System and Method for  
Supporting Packet PDU Compression**  
Inventors: Bunn *et al.*  
Our Ref: 1875.0680002

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JUL 10 2002

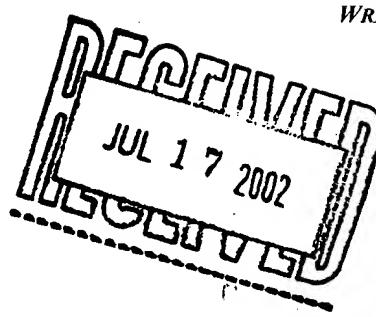
Technology Center 2100

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement;
2. Four (4) sheets of Form PTO-1449 listing sixteen (16) reference documents;
3. One (1) copy each of referenced documents AA1-AC1, AL1-AM1, AR1-AT1, AR2-AT2, AR3-AT3, and AR4-AS4; and
4. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are



Commissioner for Patents  
July 9, 2002  
Page 2

necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert Sokohl  
Attorney for Applicants  
Registration No. 36,013

RES/WBE:mlb  
Enclosures

SKGF\_DC1:16409.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Bunn *et al.*

Appl. No. 09/973,783

Filed: October 11, 2001

For: **Cable Modem System and Method  
for Supporting Packet PDU  
Compression**

Confirmation No. 7272

Art Unit: 2152

Examiner: (to be assigned)

Atty. Docket: 1875.0680002

**Information Disclosure Statement**

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Commissioner for Patents  
Washington, D.C. 20231

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Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent



application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- 1. This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
  - a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- c. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
  - a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- 4. The documents were cited in search reports by a foreign patent office in counterpart foreign applications. Submission of an English language version of the search reports that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- 5. A concise explanation of the relevance of the non-English language document(s) appears below:
- 6. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35

U.S.C. § 120. Thus, copies of these documents are not attached. 37  
C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert Sokohl  
Attorney for Applicants  
Registration No. 36,013

Date: 7/9/02

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(202) 371-2600

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FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT JUL 09 2002				ATTY. DOCKET NO. 1875.0680002	APPLICATION NO. 09/973,783	
				APPLICANT Bunn et al.		
				FILING DATE October 11, 2001	GROUP 2152	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
AA1	5,293,379	03/1994	Carr	370	94.1	
AB1	5,831,558	11/1998	Harvell	341	106	
AC1	6,032,197	02/2000	Birdwell et al.	709	247	
AD1						
AE1						
AF1						
AG1						
AH1						
AI1						
AJ1						
AK1						

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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
AL1	EP 0 806 852 A2	11/1997	PCT	H04L	5/14	Yes No
AM1	EP 0 933 876 A1	08/1999	PCT	H03M	7/30	Yes No
AN1						Yes No
A01						Yes No
AP1						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	1	"Radio Frequency Interface Specification SP-RFIv1.1-I05-000714," Data-Over-Cable Service Interface Specifications, July 14, 2000, retrieved from the Internet on May 20, 2002:<URL: <a href="http://www.docsis.org/docs/SP-RFIv1.1-I05-000714.pdf">http://www.docsis.org/docs/SP-RFIv1.1-I05-000714.pdf</a> >, pp. i-xviii, 1-6, 15-21, 93-100, 143-178.
AS	1	"Transparent Automodem Procedure between a Local (Client) Modem and a Remote (Server) Modem," Research Disclosure, Kenneth Mason Publications, August 1999, pp. 1138-39.
AT	1	Copy of International Search Report issued April 12, 2002 for Appln. No. PCT/US01/31554, 7 Pages.

EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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FORM PTO-1449  
INFORMATION DISCLOSURE STATEMENT

JUL 09 2002 88

ATTY. DOCKET NO.  
1875.0680002

APPLICATION NO.  
09/973,783

APPLICANT  
Bunn et al.

FILING DATE  
OCTOBER 11, 2001

GROUP  
2152

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
AA2						
AB2						
AC2						
AD2						
AE2						
AF2						
AG2						
AH2						
AI2						
AJ2						
AK2						

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FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
AL2						Yes No
AM2						Yes No
AN2						Yes No
AO2						Yes No
AP2						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	2	Perkins, S.J. and Mutka, M.W., "Dependency Removal for Transport Protocol Header Compression over Noisy Channels," IEEE, 1997, pp. 1025-1029.
AS	2	Jacobson, V., "Compressing TCP/IP Headers," RFC 1144, Network Working Group, February 1990, pp. 1-43.
AT	2	Copy of International Search Report issued April 4, 2002 for Appln. No. PCT/US01/31556, 7 pages.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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					APPLICANT Bunn et al.	FILING DATE October 11, 2001	
U.S. PATENT DOCUMENTS					GROUP 2152		
EXAMINER INITIAL TADEMARK OFFICE	DOCUMENT NUMBER	DATE	NAME		CLASS	SUB-CLASS	FILING DATE
AA3							
AB3							
AC3							
AD3							
AE3							
AF3							
AG3							
AH3							
A13							
AJ3							
AK3							
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY		CLASS	SUB-CLASS	TRANSLATION
AL3							Yes No
AM3							Yes No
AN3							Yes No
AO3							Yes No
AP3							Yes No
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
AR	3	Salomon, D., <i>Data Compression: The Complete Reference</i> , Springer, US, New York, NY, 1998, pp. 101-162 and 357-360.					
AS	3	Copy of International Search Report issued April 4, 2002 for Appn. No. PCT/US01/31553, 7 pages.					
AT	3	Casner, S. et al., "Compressing IP/UDP/RTP Headers for Low-Speed Serial Links," Network Working Group, February 1999, pp. 1-23.					
EXAMINER					DATE CONSIDERED		
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.							

## FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

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ATTY. DOCKET NO.  
1875.0680002APPLICATION NO.  
09/973,783APPLICANT  
Bunn et al.

FILING DATE

October 11, 2001

GROUP

2152

U.S. PATENT DOCUMENTS

EXAMINER  
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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA4					
	AB4					
	AC4					
	AD4					
	AE4					
	AF4					
	AG4					
	AH4					
	AI4					
	AJ4					
	AK4					

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL4					Yes No
	AM4					Yes No
	AN4					Yes No
	AO4					Yes No
	AP4					Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	4	Copy of International Search Report issued April 12, 2002 for Appln. No. PCT/US01/31559, 6 pages.
AS	4	Copy of International Search Report issued April 12, 2002 for Appln. No. PCT/US01/31567, 6 pages.
AT	4	

EXAMINER

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